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ABSTRACT

A guide for training eligibility supervisors in public welfare is presented. The following topics are discussed: (1) the agency's program goals and philosophy for determining eligibility for financial and medical assistance; (2) understanding the worker's function; (3) the supervisory responsibility; (4) developing the supervisory relationships; (5) the teaching aspects of supervision; (6) methods of supervision; (7) tools of supervision; (8) use of resources; (9) workload management; (10) evaluation; and (11) public relations. A short list of resource materials is also provided. (KM)

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A GUIDE for TRAINING SUPERVISORS of INCOME MAINTENANCE STAFF

DEPARTMENT OF
HEALTH, EDUCATION, AND WELFARE
Social and Rehabilitation Service
Assistance Payments Administration

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PREFACE

A Guide for training supervisors in public welfare was begun while I was a member of the Division of Technical Training, Bureau of Family Services. The first draft had been completed after discussions with and suggestions from, other members of the staff. At the time the Social and Rehabilitation Service was organized I was assigned to the Assistance Payments Administration. After the program of separation of the functions of establishing eligibility for financial and medical assistance and the provision of services was defined, and the simplified method of establishing eligibility was developed, the guide material was revised and re-focused to the responsibility of the supervisor of income maintenance staff, based on the assumption that there would be separation and the use of the simplified method. This is the goal of the Assistance Payments Administration.

I am deeply indebted to the many people who have given me suggestions as to content and focus. They include a number of State staff development personnel, experienced and newly-appointed supervisors, experienced caseworkers and new income maintenance workers, as well as my colleagues in the Central and Regional Offices.

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DEFINITION OF TERMS

1. Induction -- introducing all employees to the agency's philosophy, goals, procedures, personnel policies, and the physical job setting.

2. Orientation -- developing in employees the knowledge, understanding, attitudes and ability necessary to assume beginning job responsibilities at the time of initial assignment and reassignment.

3. Conventional method (integrated, traditional) -- The conventional method of determination and redetermination of eligibility for financial or medical assistance and the amount of assistance is one which requires verification of statements of fact made by the applicant or recipient.

4. Income maintenance program is used to denote the total program of establishing eligibility for medical and financial assistance, including all aspects related to it -- food stamps, fraud, quality control, etc.

5. Income maintenance worker refers specifically to the worker whose primary responsibility is to determine the eligibility of an individual applicant.

6. Trainees refer to newly appointed supervisors.

INTRODUCTION

This Guide is prepared for the use of the State Director of Staff Development and his staff. It is based on the recognition that each of the 50 States will differ to some extent in (1) their structure for utilizing the simplified method of determining eligibility for financial and medical assistance; (2) the education and experience of the staff to fill these positions; and (3) a plan for training of all income maintenance staff.

In reviewing programs for training supervisors from a number of agencies it was found that the content and emphasis varied widely.

There is also considerable variation in the plans for training. Some agencies have a few days of training, sufficient to "get the supervisor on the job." Hopefully there would be a follow-up training over a period of time but this has not always happened. Others have been given training over a specified period of time -- classroom sessions alternating with planned periods of work experience.

The concept of separation has required a careful look at the differential use of staff. By defining the tasks involved in the eligibility process it has been recognized that many of these can be performed by staff with less than a bachelor's degree; however, present staff will be assigned to the best advantage to the agency until such time as vacancies occur.

The agency's income maintenance supervisors must recognize that the position of income maintenance worker is a new one. It is not a watered-down casework position nor a clerical position. While some of the skills needed to perform the functions incorporated in this position are drawn from both, new skills are also involved and must be learned. For example, home visits to determine eligibility are not required and will not be routinely made, yet some may be necessary to clarify information already given or to obtain some not given on the application. Therefore, some interviewing skills are needed. On the other hand, the primary source of information is the client's statement on the application form and it is skill in evaluating information on forms that becomes important.

Experienced supervisors will need to look at and adjust to the present tasks of the income maintenance workers and recognize the differences in knowledge and skills needed to perform them. For them, this will involve some new learning and some unlearning; developing new habits and giving up some old ones; and above all, a conviction that eligibility can be established through acceptance of the client's own statement about those factors for which Federal law or policies do not require procedures beyond obtaining a client's statement.

In addition to an understanding of and learning about the specific jobs of all the staff who participate in the eligibility process, (receptionist, worker, budget clerk, etc.) and for whom he has responsibility, the supervisor has to develop skill in supervision. There is a body of knowledge and a process of training that is necessary to develop this skill.

This suggested plan seeks to set forth in an organized pattern the basic content that will provide a well-rounded training for eligibility supervisors. The focus is on the simplified method but the scope and content are applicable to training of supervisors in general; the focus and depth would need to be changed according to the program.

A plan for training income maintenance supervisors must take into consideration --

1. Agency's plan for orientation and on-going training of the eligibility workers.

   Orientation of workers in the past has varied among the States. Depending upon the agency's structure, new workers have learned the eligibility function in a variety of ways ranging from complete integration with the service aspect to complete separation under the direction of the supervisor in the local agency on the day-by-day job.

   A supervisor must know "what" the expectations of the positions are that he is supervising. He should know what knowledge and skills the worker brings with him.

2. Agency's structure regarding separation of the function of determining eligibility from the provision of services.

   It is anticipated that there will continue to be variations in the structure agencies will develop in order to use the simplified method and implement separation. Therefore, it will be necessary to determine

   a. The range of staff positions to be supervised in addition to the income maintenance worker. (Example: receptionist, intake workers, information workers, budget clerks, etc.)

   b. The specific duties assigned the supervisor in job descriptions. (Example: "Promotes a steady growth and development of staff capacities and stimulates and encourages understanding of the assistance payment functions and other services of the agency." What are the specific tasks this involves? What are the knowledge and skills the supervisor needs to carry out this assignment?)

3. Education and experience of the new supervisor

   Undoubtedly the majority of new supervisors will come from one of three sources -- (1) those already employed in the agency as social workers with some or a great deal of experience in the traditional program; (2) those already social work supervisors

who wish to transfer to this program; (3) those income maintenance workers who meet the requirements for promotion to this position.

If this is so, they will have had some (or much) experience in the traditional program of public assistance. Therefore developing content must begin with what they already know, plus what new learning is needed, and what unlearning is indicated. However, it should be made clear that some content may be repetitious for the members who are experienced agency staff. It should be made clear that the focus is on the simplified method, and how the supervisor makes use of it.

4. A number of the Suggested Utilization of the Points of Emphasis are based on job task analysis. This is necessary if the agency is to make the best use of its money and staff time. Agency training is training to do a specific job. Therefore, before training can begin the job itself has to be identified in terms of the specific tasks to be performed.

For example, if the worker's task is primarily to evaluate answers to questions on a form, the worker must know: (a) the meaning of the questions; (b) what would be an acceptable answer.

On the other hand, if his tasks also include eliciting answers to specific questions from an individual, he not only needs to know the meaning of the questions and the acceptable answers, but he also needs to know something regarding how people react to answering questions, how to ask questions, and so forth. "What more" and "how much" has to be decided in relation to specific criteria. This criteria then relates to the task to be performed, the education and the experience of the person who is to perform the task.

The supervisor must understand this so that he can reinforce knowledge as needed and so that he can evaluate the workers adequately and appropriately.

This training material is based on the following concept of supervision:

1. Supervision is an administrative process which assumes
   a. That every staff member in a position of responsibility for the work of other staff members has an obligation to give leadership which develops the abilities of the staff under his immediate direction in the useful application of knowledge and skills on the job.

   b. That the use of the supervisory process by those in executive capacity is a necessary component in the performance of their functions and is therefore a matter of administrative concern.

c. That the development of staff is inherent in the supervisory process and is attained effectively only through the conscious use of the supervisory process for purposes of Staff Development.

2. Supervision focuses upon the development and use of knowledge, skills, and resources in job performance.

   a. The adequacy of agency function in terms of services to people in need occurs in direct relation to the growth of individual staff members in their capacity to render these services. Accordingly, supervision, in addition to having the derivative meaning, "to have a general oversight of," must focus upon the development of knowledge, the use of that knowledge, and the application of skills by staff in their day-by-day activities on the job.

   b. The process of supervision, therefore, serves to implement the smooth flow of agency work, to secure greater staff competence, and to achieve a successful realization of the program goals at all levels of the agency's operation.

This document is based on the following premises: (Insofar as the State's plan differs from any one of these premises, the material in this document will have to be adjusted accordingly.)

1. That there will be separation of the functions of determining financial eligibility and the provision of services.

2. That position descriptions will be based on an analysis of the tasks to be performed.

3. That the client's statement will be the basis for the establishment of eligibility.

4. That the income maintenance supervisors will be selected from current social work or supervisory staff. This assumes the new supervisor will have had some training concerning the overall goals of the agency, behavior, interviewing, establishing eligibility and processing an application, the services provided by the agency, community resources, etc.

5. That the orientation of the income maintenance worker will be the responsibility of Staff Development, not the supervisor.

Because of the importance of the supervisory role in carrying out the agency's program of financial and medical assistance and because this is a new program, consideration needs to be given to the total content of knowledge and skills that the income maintenance supervisor needs in order to carry out this function. This guide attempts to bring together in broad subject areas a comprehensive content for training of income maintenance supervisors and presents some broad objectives for each area indicated.

Although the format is similar to that of a learning unit, the eleven sections ARE NOT LEARNING UNITS. Each section deals with a broad area of the supervisory responsibility and has been singled out independently to call attention to it. Points of Emphasis and their suggested utilization are geared to the task analysis approach. The Points of Emphasis should not be considered total; they call attention primarily to those specific areas affected by the simplified method.

It is expected that each section will be developed focused to the needs of the particular group of trainees -- their education, previous agency training, experience, special responsibilities, etc.

The order in which these sections are presented should not be considered as inflexible. It is expected agencies will select material from it in relation to the needs of each group of trainees, including the depth at which it will be taught, the amount of time needed for each specific unit and the timing for it.

Experience has shown that staff can make the best use of learning if they have an opportunity to practice as they go along. Therefore, it is suggested that the training plan be developed with classroom sessions spaced in relation to on-the-job periods.

No specific timing plan has been included since agencies will have to determine this in relation to their overall training program as well as to the education and experience of the staff. It would seem that this content could not be absorbed entirely at one time but that it should be spaced in relation to on-the-job periods, over a minimum of a year. The plan should also provide for on-going training sessions to re-enforce, to supplement and to prepare trainees to assume more administrative responsibility in the future.

SECTION I

AGENCY'S PROGRAM GOALS AND PHILOSOPHY RELATED TO DETERMINATION OF ELIGIBILITY FOR FINANCIAL AND MEDICAL ASSISTANCE

PURPOSE

The purpose of this unit is to emphasize the importance of examining the agency's goals and philosophy as a result of the separation of service and financial assistance since they form the basis for the new policies and procedures the agency has developed to implement the simplified method. Because supervisory staff have responsibility for implementing new policy and procedures and for interpreting them to the staff and frequently to the public, it is especially important that they know the background and thinking that went into these decisions. A thorough understanding and commitment to the philosophy and goals is the basis upon which the income maintenance supervisor must function in order to carry out his responsibility to the agency.

1. The supervisor must understand the philosophy of the separation of the function of determining eligibility and the provisions of services.

   Financial assistance and services provided under provisions of the Social Security Act have been administered as one program for many years. Separation of these functions into two identifiable programs is considered desirable for the purpose of achieving a uniformly high quality of administration of assistance and services with adequate program planning, staffing, and financing for both.

The financial needs of applicants and clients can be met faster and with greater dignity for the client at the same time that greater efficiency and economy is brought to agency operations. The concept of the "right" of the needy individual or family to enough assistance from public funds to provide a minimum level of living is a principle being given serious consideration at this time in our national life. Court decisions have highlighted legal and constitutional rights of individuals in relation to welfare issues.

The income maintenance function is identifiable and can be separated as an entity for independent operation. The assistance function is that activity which is entailed in providing financial and medical assistance under titles I, IV, X, XIV, XVI, and XIX of the Social Security Act from the time of application to the provision of the assistance payment, and thereafter to assure that assistance continues to eligible individuals in accordance with the various provisions of Federal and State law and policies. There are principles and established methods of administration which pertain specifically to the provision of financial and medical assistance.

Certain mandates in the Social Security Act are specifically required in the administration of the assistance program. These include:

The provisions for Statewideness

The right to apply and, if eligible, to receive assistance promptly, regularly, and continuously, until the individual or family is found to be ineligible.

The right to a fair hearing before the State agency

The right to have information safeguarded

The provision to receive assistance as a money payment without restrictions except in specific situations.

2. The supervisor must understand the concept of the simplified method and its relationship to the success or failure of this program.

The simplified method is a plan for the use of a simplified form to be filled out by the applicant or recipient or by someone serving in his behalf. It is a plan for (1) accepting the statement of the individual as to the facts about his eligibility which are within his knowledge and competence, (2) a testing and validation of the method on a sampling basis at the time of introduction to assure that it is being properly installed, and (3) a subsequent continuing review of a sample of case actions. This concept recognizes that most applicants and recipients can set forth all of the information that is needed to establish their eligibility. In two areas, the policy provides that the agency must proceed with other methods than the client's statement - when professional

determination as to permanent and total disability or blindness is a factor and the requirements as to determination whether training or employment was refused for "good cause."

3. All supervisors should have the same understanding of the Federal Regulation. This would include:

   The specific provisions of the Regulation

   Interpretations given by the Federal Government of each of these

   The requirements that agencies must meet to implement it

   What their agency has done or needs to do to implement the regulation

4. The supervisor must understand the goals and philosophy of the agency in relation to this program, including how the plan works within the agency in relation to the social services program; how the job will be accomplished through the supervisory and other staff; and what career future there is for all staff.

5. The supervisor needs to understand his place in the agency structure, both to the administration and to the workers for whom he is responsible. This concept is reflected in the following definition of supervision by Wilson and Ryland:

"Supervision is a relationship between a supervisor and workers in which the supervisor, because of his knowledge and understanding of himself, of other human beings, and of the agency function, and of the social situation, helps the workers to perform their functions and to cooperate in the accomplishment of the purpose for which the agency is organized."

OBJECTIVES

1. To learn the program goals of the agency, for both financial assistance and social services.

2. To understand the agency's philosophy of helping people in the income maintenance program.

3. To clearly understand the Federal regulation concerning the simplified method for the determination of eligibility.

4. To learn new policies and procedures resulting from the agency's actions to implement the regulation, including utilization of staff.

5. To understand the relationship of this program to the agency's social services program.

6. To identify the responsibility of the supervisor for carrying out this program--to the administration, to the worker, to the applicant, or to the general public as needed.

POINTS OF EMPHASIS

1. Program Goals and Philosophy of the Agency

Although this document is based on the assumption that the majority of eligibility supervisors will come from present agency staff, and therefore, could be expected to have heard the program goals and philosophy of the agency presented in their previous agency training, it is important that these be included again in light of the new method. These form the basis of the new policies and procedures the agency has developed to implement this method and an understanding of the background and thinking for these changes is necessary if supervisors are to be able to carry out their administrative responsibilities.

Because this is a new program that has brought about a number of changes in the agency, it is especially important that the director of the income maintenance program present this to the supervisors. At times supervisors will find that they represent the agency to the public and they should have the security of hearing from the director his interpretation of this important aspect. Included in this content should be:

A. Program Goals of the Agency

1. The revised agency structure (use a chart or other visual aid) to show the lines of responsibility and relationship between the eligibility program and the social services program.

2. Career ladders. Because it is expected that many agencies will assign the income maintenance positions to staff with less than an AB degree some provision should be made as to how the staff can progress within the agency structure. This will apply to all sub-professional staff, as homemakers, day care center operators, etc. The Harris Amendment indicates these should not be dead-end jobs. How and under what conditions do income maintenance workers and others advance? What provisions re education and further training does the agency provide for them?
3. New regulations or laws or policies developed to implement this program and the reasoning behind the decisions made.

B. Agency's philosophy of helping people in relation to the simplified method

1. Acceptance of the client's statement.
2. Other recent Federal regulations that affect services or program, Fraud, Legal Services, Use of Subprofessionals and Volunteers, Fair Hearing, Locating Absent Parents.
3. Plan for keeping public and applicants informed of the services available, including financial assistance.

2. Acceptance of the client's statement for determination of eligibility instead of an "investigation."

Recent Federal policies have focused particular attention on recognition

of the Human and Civil Rights of individuals in their dealing with public welfare agencies. The present regulation of the simplified method is an outgrowth of these policies and practices. The emphasis has been on the individual as a primary source of information, on his right to consent for contacts made about him with others, on the necessity of giving him advance notice of purposed changes in his assistance, and on other requirements that aim at assuring his rights and respect for him as a person. The use of the client's statement in determining his eligibility was emphasized in relation to the Medical Assistance Program and in connection with Title V Project under the Economic Opportunity Act administered by the Department of Health, Education, and Welfare. The purpose was to simplify determination and expedite the provision of services to the individual and his family.

The regulation provides every opportunity for the agency to accept the client as the chief source of information. However, for those instances in which the agency needs to take further steps in the eligibility process by more traditional methods, when there are inconsistencies or gaps in the information presented which cannot be resolved by returning to the applicant and which, to a prudent person, suggest the need for further exploration. A full investigation will be conducted only under circumstances specified in the regulation or in the Validation or Quality Control process. Other factors involved are:

a. The meaning of the "prudent person" must be thoroughly understood. The provision regarding the purdent person applies to the particular case that might indicate further inquiries should be made, additional substantiation or verification should be sought. For example, there may be inconsistencies between information currently given by the applicant or recipient and earlier agency records which would need to be reconciled either by going back to the individual or by other verification. It would not apply to all cases in any category or even a significant proportion of the total. The "prudent person" concept cannot be used as the basis for continuing the investigation of all eligibility factors routinely.

b. No face to face interview is required nor routinely necessary. In an individual instance questions may arise based upon specific information that can be cleared up only by a visit to the home. These are specific and applicable to an individual situation; for clients who are helpless or cannot gather their own information, the agency should make other provision for helping them file an application. It is expected that the majority of these can be clarified by a telephone call or by letter.

c. The Validation Process or Quality Control process and the supervisor's relationship to them should be clarified.
The purpose of the continuing review of sample cases is to provide a way for testing the effectiveness of the system. This review will enable a State to know whether, and the nature of, any problems that have ever arisen.

d. Case recording will be limited and the record will be available to client under certain conditions. (See regulation on Fair Hearings) Since the application form should have the basic necessary information to determine eligibility only pertinent information relative to those items not completed on the application would be needed, plus any necessary agency forms. No narrative recording should be necessary.

3. The State agency's program in relation to the Federal Regulation
   a. Specific provisions
   b. Interpretation of these provisions
   c. What steps agency has taken, is taking, or plans to take to implement this regulation.

4. The supervisor's responsibility in relation to this regulation
   a. To clarify his own thinking and <u>feelings</u> about the new method.
   b. To understand his administrative responsibility to the agency for seeing that this program is carried out.
   c. To help the income maintenance worker understand his job and develop skill in determining financial and medical assistance for all applicants.

SUGGESTED UTILIZATION OF POINTS OF EMPHASIS

Since this Section relates to broad basic information needed by Supervisors in order to perform their function, quite a bit of reading will be indicated and sufficient time should be allowed for this. The Federal Regulation should be studied as well as new regulations and procedures of the agency resulting from any simplification, reorganization of structure and assignment of staff. Ample time for discussion and clarification of questions should be allowed. Both negative and positive attitudes may be present about some of the details and these will have to be dealt with.

1. Discuss the Federal Regulation in relation to each of its parts. Note the Federal interpretation for them (these are included in the regulation attached).

2. It is recommended that the State Director or the Director of the Income Maintenance Program present the Program Goals and Philosophy of the Agency. Include:
   a. Discuss the State's regulations in relation to the Federal Regulation and give the reasoning behind changes in laws or procedures that have been made to implement the simplified method. Include plans for further changes.
   b. Using a chart or visual aid show the revised agency structure for income maintenance and service programs. Point out the lines of responsibility and relationship between the two programs. What problems are showing up? How does he think the supervisors can help with them?

c. Discuss the agency's rationale for assignment of staff. What are future plans? What future is there for this group of supervisors? What requirements will they have to meet?

3. Develop several critical "incidents" around difficulties in relationship between the social service workers and income maintenance workers. Have group discuss what information they have now that would help them resolve this.

SECTION II

UNDERSTANDING THE FUNCTIONS OF THE INCOME MAINTENANCE STAFF

PURPOSE

Because the trainees will, in most instances, have been a worker in the agency at some time, we may be tempted to take for granted that they understand the job of the income maintenance worker. They probably do as they performed it, in relation to establishing eligibility. But they are no longer workers and they need to look at this job in relation to the specific tasks involved in it and at their responsibility toward it.

Too often we think of supervision in terms of the supervisor and the worker who deals with the client directly, but the supervisor will undoubtedly have other staff for whom he is responsible. This will depend upon the agency structure and its staffing patterns. For example, will the total function of establishing eligibility be carried out by one worker or is it to be divided among several -- receptionists, reviewer, telephone worker, budget clerks and resource analysists. Their tasks will be different. The supervisor will need to understand the functions of all staff for whom he is responsible. The trainee should look at these jobs individually and as they relate to each other. This will be helpful to him in planning and managing the total workload for which he is responsible.

He not only needs to know the tasks that each of his staff is expected to perform but he also needs to know:

a. What a worker brings to his job in the way of education and experience

b. What the agency provides in the way of helping these workers begin to develop competence for this job.

Without this knowledge the supervisor cannot do his job in developing a relationship with the worker, in carrying out the evaluative responsibility and in the teaching and enabling aspects.

Whatever the agency's staffing pattern and structure, the principles and suggestions in this Section apply to all staff to be supervised. The content would need to be focused to the specific tasks of the particular staff under discussion. Example: receptionist -- what are the specific tasks for which she is to be held accountable, what direction will she need for performing those tasks, what training will she need, what kind of supervision?

POINTS OF EMPHASIS

The following should be included in the supervisor's training:

1. Identification of the income maintenance staff and their functions for which the supervisor is to be responsible.

   It will be necessary to define the particular staff to be supervised. The trainees may already know this or they may not yet have been assigned. If not, the Instructor should make every effort to find out so that all necessary resource material is available. This will include position descriptions, charts of staffing patterns, etc. The positions will include, in addition to the worker, the receptionist, information-giving worker, outreach worker, budget clerks, filing clerks, secretaries, resource workers, and others according to the staffing pattern and size of the agency.

2. Recognition that the functions involved in establishing eligibility are task centered. Identification of the tasks is necessary since job descriptions are usually written in general terms. The supervisor must understand for what the worker is held responsible. This is imperative if the evaluation of staff is to be accurate and objective.

3. Based upon the job specifications and clarification of the education and experience required for each staff to be supervised becomes important. Areas that will, or may, need special attention should be noted. Also, are any staff overly educated or experienced

for a particular position. If so, this could be important in managing the workload and assignment of tasks within a given unit. For example, if an income maintenance worker has a BA and more experience but chooses to remain as an income maintenance worker certain responsibilities might be delegated to her, such as reviewing all budgets or making all contacts regarding relative responsibility.

4. As stated earlier, this document assumes that Staff Development will be responsible for the initial training of the income maintenance worker. If not, Staff Development must take responsibility for not only developing the content needed for training the income maintenance worker but also <u>for training the Supervisor to perform this function</u>.

   If Staff Development does train the income maintenance worker, a review of content should be included here, as well as suggestions as to how the Supervisor can make use of this knowledge. The following points should be highlighted:

   a. The philosophy of the simplified method presented to the eligibility staff, including personal contacts, how and when visits will be made, acceptance of the client's statement, meaning of the "prudent" person.

b. The evaluation of the declaration form for determining eligibility, including the process for determining the amount of the grant, handling of special grants and other items.

c. Questions on the form that may require close supervision.

d. How to recognize clues for needed services, both from the application and in personal contacts.

e. Relationship to other agency personnel.

f. Relationship to supervision.

g. The details of the following will have been covered in previous sessions but should be reviewed here so that the supervisor will know the details of training given and the points emphasized.

1. Processing the application for approval.
2. Processing the application for denial.
3. Recording of information.
4. Filing of application and notation of date for redetermination.

SUGGESTED UTILIZATION OF POINTS OF EMPHASIS

1. Identify all staff which the trainees will supervise.
2. Provide each trainee with a blank copy of Chart I. Using the position description for each staff position identify the tasks for each.
3. Using Chart II, list the knowledge and skill for each task in the income maintenance worker position.
4. Select several items from Chart II and have group discuss
   a. Whose responsibility for training for beginning performance (Staff Development or Supervisor).
   b. If Supervisor's, discuss ways he will do this.
5. From a specific case situation have group identify:
   a. what tasks the worker performed.
   b. was task performed adequately?
   c. what help the worker may need.

EXAMPLE

Position: Income Maintenance Worker

Tasks

1. Evaluating client's statements on declaration in re specific criteria to determine eligibility for financial or medical assistance.
2. Writing letter to applicant to obtain additional information omitted or not clear on declaration form.
3. Determining amount of financial assistance for eligible applicant.
4. Advising applicant of denial.
5. Authorizing food stamps.

NOTE: These are only examples. Each of these requires more definitive analysis.

EXAMPLE

Income Maintenance Worker

Task	Knowledge	Skill
1. Evaluating client's statements on declaration form in re specific criteria to determine eligibility for financial or medical assistance.	Criteria for eligibility	Evaluation in re fixed criteria Use of agency manuals, charts, information bulletins
2. Determine amount of entitlement	Appropriate items to be included Correct forms and procedures	Mathematics Following correct procedures

SECTION III

THE SUPERVISORY RESPONSIBILITY

PURPOSE

The responsibility of an agency for providing services to the community is accomplished through a variety of staff. Looking at the position of the supervisor in the agency structure it becomes apparent this is a most strategic one. A chart of the staffing of the agency usually shows the supervisory position located between the administrative staff and the staff providing direct services. Therefore, the supervisory responsibility flows both ways -- up as well as down.

The administrator is dependent upon the supervisor for presenting information to him as to what is happening to people. From them he learns how the services are being given, where and what problems need attention. On the other hand, the service staff look to the supervisor for clarifying policy, for keeping them current on new regulations and procedures and for maintaining conditions that permit them to do their jobs.

These activities are some of the administrative responsibilities of supervision. It is important that the new supervisor sees himself as a part of administration right from the beginning.

It is the purpose of this section to introduce the trainee to the scope of supervision, to see it as a part of administration, to recognize the teaching component and the enabling aspects.

The trainee brings to his assignment his own ideas of what supervision is based largely upon what his own experience has been. There may be both negative and positive feelings. In addition, he is taking on a new responsibility, and it is normal for him to have some anxieties at such a time. Understanding what supervision is and his responsibilities in general will provide him with a basis for moving into the specifics of the job. Recognition of what he brings from his previous job experience will provide him with some security as well as a bench mark from which to move ahead.

OBJECTIVES

1. To identify the components of supervision

2. To identify the specific tasks for which the agency holds the supervisor accountable.

3. To affirm knowledge and skills the new supervisor brings to the job and assess the additional knowledge and skills acquired.

POINTS OF EMPHASIS

1. The components of supervision

Some States have definitive statements in their manual regarding the philosophy and functions of supervision. If so, this should be the basis for developing learning in this area, for it is within this framework the trainee will be expected to perform. If the agency has none, the Staff Development instructor may wish to have the group develop a statement now consistent with the expectations as given in the agency's job description for supervisors.

A prepared list of definitions of supervision is attached (Chart I). These definitions reflect the scope of supervision as seen by several authorities in the field. These definitions use the terms "administrative," "enabling" and "educational" which seem too broad for this purpose. Because their meanings sometimes overlap, it is suggested that the specifics of the supervisory functions be thought of in terms of:

1. The supervisor's responsibility to the worker (helping, enabling and teaching)

2. The supervisor's responsibility to the agency -- (administrative)

3. The supervisor's responsibility to the community -- (administrative including public relations)

4. The supervisor's responsibility to himself -- (professional growth, self awareness, self evaluation)

However, the Wilson and Ryland definition has been selected as a basis for developing this material because it is quite specific, can be broken down into parts for discussion, and reflects the total aspects of supervision.

2. The Tasks of the Supervisor

The agency should use its own job description for the income maintenance supervisor. Usually these are written in general terms. If the supervisor is to be evaluated on how well he performs, the agency has the responsibility to make known to him what are the specifics on which he will be judged, and what knowledge and skills are necessary to perform this function. If he does not now possess these, the agency should make known to him how it plans to help him "grow and develop" as a supervisor.

3. The knowledge and skill each trainee brings to the job should be related to those listed in the supervisor's job description. It is important that the trainee understand what in his past record of experience, education, ability and so forth has led to his being considered for the supervisory job.

4. The new knowledge and skills needed

As the trainee looks at the responsibilities in the supervisor's job, he will see that there are some areas in which he has not had experience. These new areas of responsibilities will require new knowledge, and new skills to be developed. For example, he will

need more understanding of (a) how to control the flow of work; (b) how to conduct a group conference; and (c) how to develop staff capacity.

SUGGESTED UTILIZATION OF POINTS OF EMPHASIS

1. Clarify with group the meaning of each of the components of supervision -- administrative, educative and enabling. Give special consideration to the enabling component, as this is often taken for granted. (mechanics of doing the job, providing adequate space and equipment including up-to-date or current resource material, getting interpretations, clearing the way to operate, cutting through red tape when necessary, etc.)

2. Provide each trainee with a list of the attached definitions. Through discussion, note the focus of each one and similarities. How does each one relate to the components of supervision.

3. Use the Wilson and Ryland definition:

   "Supervision is a relationship between a supervisor and workers in which the supervisor, because of his knowledge and understanding of himself, of other human beings, and of the agency function, and of the social situation, helps the workers to perform their functions and to cooperate in the accomplishment of the purpose for which the agency is organized."
   - Wilson and Ryland

   Break it down into several parts:

   a. Relationship between supervisor and workers
   b. Supervisor's knowledge and understanding of himself
   c. Supervisor's knowledge and understanding of other human beings
   d. Supervisor's knowledge and understanding of the agency's function

e. Supervisor's knowledge and understanding of the social situation

f. Supervisor helps the workers -

to perform <u>their</u> functions

<u>cooperate in the accomplishment of the purpose for which the agency is organized</u>

Discuss each of these points separately, noting what each means, what knowledge and skills are involved, how each point contributes to the total, helping the trainee to see the scope of their responsibility -- that is something more than "checking eligibility."

Special attention should be given to helping the trainee <u>look at himself</u> and how <u>he</u> affects any situation.

4. Provide each trainee with a copy of his job description. For each item included as <u>duties</u> in the supervisor's job description have trainees list the following:

a. The <u>tasks</u> involved

b. The knowledge needed to perform the tasks

c. The skills needed to perform the tasks

d. The component of supervision to which each of the duties is related

Chart II could be used as one example for helping the trainee see what is really involved in his job and to help him determine what are the knowledge and skills with which he will need help.)

5. Have the trainees list the knowledge and skills each brings to the job at this time. (Can refer to job description section on minimum qualifications and qualifying experience) Have them select those that have special implication for the supervisory responsibility.

6. Have group identify the tasks they performed as workers, which they will no longer perform as supervisors. Handle any feelings about this.

7. Have the group select from the job description the kinds of responsibilities that will be new to them, for which they have not had responsibility as a worker. List these and opposite each, list the knowledge and skills which will be needed in order to perform these tasks well (see Chart II). Have group list these in order of priority for training under your agency's plan and in relation to their previous agency training.

DEFINITIONS OF SUPERVISION

1. "An educational process in which a person with a certain equipment of knowledge and skills takes responsibility for training a person with less equipment" - Virginia Robinson

2. Charlotte Towle defines supervision as an administrative process with an educational purpose.

3. "Supervision is a dynamic enabling process by which individual workers who have a direct responsibility for carrying out some part of the agency's program plan are helped by a designated staff member to make the best use of their knowledge and skills, and to improve their abilities so that they do their job more effectively and with increasing satisfaction to themselves and to the agency.

   "The supervisor's responsibilities are both administrative and educative in nature; regularly scheduled consultation is considered a primary means. The focus of supervision will shift with the development and growing abilities of both worker and supervisor.

   "The ultimate objective of supervision is that through more effective effort on the part of its workers, an agency's services are improved in quality and its central purposes come nearer to fulfillment." - Margaret Williamson

4. "Supervision is a relationship between a supervisor and workers in which the supervisor, because of his knowledge and understanding of himself, of other human beings, and of the agency function, and of the social situation, helps the workers to perform their functions and to cooperate in the accomplishment of the purpose for which the agency is organized." - Wilson and Ryland

DETERMINATION OF TASKS INVOLVED IN THE SUPERVISORY JOB

Tasks	Knowledge Needed	Skills Needed	Relates to What Component of Responsibility

SECTION IV

DEVELOPING THE SUPERVISORY RELATIONSHIP

PURPOSE

Without understanding the meaning and use of the supervisory relationship, the eligibility supervisor may see his job as simply checking requirements and budget figures. It is important, therefore, the supervisor be quite clear about what it is.

If the trainee were a former social service worker in the agency, he may have learned to use the relationship with some skill with the client. Now he must understand how he uses the relationship with the worker. As a worker, trainee may often have known intellectually the components of the relationship, but was not always able to apply them. We, therefore, can expect the new supervisors to see its obvious mis-use, but they will need help with the more subtle ways in which they may violate the relationship.

How the supervisors can use the relationship with workers, as well as helping the worker to use it in the eligibility process, will need plenty of time and practice.

Basic to the developing of a good relationship is the understanding of human behavior. The focus, content and depth to which this knowledge must be taught will depend upon the previous experience of the trainees (Example: former social service worker) and the kinds of in-service training they have had, if any.

As workers, the primary emphasis was on understanding and dealing with the client's behavior. Now the trainee must learn to understand behavior in order to:

1. Help the worker grow in understanding and dealing with the behavior of clients and his own part in it.

2. Apply his understanding and knowledge to the worker's behavior in all aspects of his job.

3. Develop an awareness of his own behavior as it affects the carrying out of the supervisory responsibility.

Item 1 is the basic ingredient in the worker-client relationship and should be the primary focus of the individual conference. Items 2 and 3 are basic to the development of the worker-supervisor relationship.

This content should focus on the meaning of behavior to (1) prepare the supervisor for the expected and unexpected behavior of the workers and (2) help the trainee see himself as a human being first, with some prejudices, specific ways of working and ways of responding to the world that are peculiar to him.

OBJECTIVES

1. To use the elements of the relationship effectively.

2. To develop a relationship appropriate to the supervisory function.

3. To review the meaning of worker's actions in relation to clients.

4. To understand worker's behavior in relation to the supervisor.

5. To develop an awareness of himself as an individual.

6. To develop behavior patterns appropriate to the supervisory relationship.

POINTS OF EMPHASIS

1. The concept of supervision as used in this material is based on Wilson and Ryland's definition (see Section III) "Supervision is a relationship between a supervisor and workers in which the supervisor, because of his knowledge and understanding of himself, of other human beings, of the agency's function, and of the social situation, helps the workers to perform their functions and to cooperate in the accomplishment of the purpose for which the agency is organized."

   It is important that the trainees are quite clear about the elements that make up the successful supervisory relationship and that they all have the same understanding of these elements. Based on Biestek's material, the seven elements are restated in terms of the supervisor-worker relationship.

   a. Purposeful expression of feelings - the supervisor recognizes the worker has a right to present his side of any problems in his own way, including his negative feelings.

   b. Controlled emotional involvement - the supervisor is sensitive to the worker's feelings and tries to understand what they mean and make appropriate responses to them.

c. Acceptance - the supervisor accepts the worker as he is, with some good and some not so good qualities.

d. Individualization - the supervisor recognizes the right of the worker to be an individual, not as any individual, but as this individual, with all the things that make him unique and different from others.

e. Non-judgmental attitude - the supervisor recognizes that he is not a judge of the worker as a good or bad human being but evaluates the worker's actions objectively.

f. Self-determination - the supervisor recognizes the right and need of the worker to make his own choices and decisions as far as possible within his capacity to do so, legally, and within the program of the agency.

g. Confidentiality - the supervisor respects the information given by the worker and shares it only with his consent and in his best interest.

2. In order to promote a successful relationship, it is important that the supervisor understands the worker as an individual. To accomplish this, it is necessary to individualize him as a worker would a client in trying to help him develop on the job.

3. If the workers are from the client group or from a minority group, the trainee will need to develop special skills in understanding how these elements can be used effectively with them.

4. How well the trainee understands himself - his own needs and his own behavior patterns - will be very important to his ability to develop a good relationship with the workers he supervises.

5. If trainees are former social workers in the agency, the use of the supervisory relationship will be very important, especially around any feeling the trainee may have regarding changes in procedures and policies the agency has made in order to implement the simplified method. This can be both positive and negative.

6. The supervisory relationship is not confined to the individual conference. It is an on-going daily personal thing that is involved every time the supervisor has any contact with the worker or with the worker's efforts.

7. The subject of human behavior is broad and complex.
   a. Human behavior means how a person reacts to a given situation, person, group or community, not behavior in the sense of moral approval or disapproval of an action.

b. Human behavior is directly related to the satisfaction of human needs. If a basic human need is not met or not sufficiently met for a particular individual, he will react in some manner. One cannot predict how he will react. It may be with discouragement, impatience, indifference, belligerence or confusion. Many factors will be involved in a particular reaction to a given situation. Often all that is involved in the behavior will not be understood. However, we should understand that:

1. Any person's behavior at a given time will be the result of many factors

2. Some of these factors are probably real and immediate

3. Some may be rooted in events that have happened to him over a period of time

4. The behavior in some way represents his effort to satisfy his particular human needs

c. The behavior of any person in a particular situation is usually conscious, that is to say it is more or less deliberate. However, in many situations at least part of any behavior exhibited is prompted by the subconscious.

d. Reactions tend to be exaggerated when a person is confronted with a new situation or when new factors are injected into a situation.

e. Individuals tend to react primarily on the basis of feelings and emotions.

8. Defenses are devices used by everyone (both workers and supervisors) to face unpleasant and painful experience more comfortably. Some defenses are constructive and enable the person to function better. Some defenses are destructive and tend to keep the person from functioning at an adequate level.

It is important that the supervisor determine (1) what actually are the worker's defenses; (2) what purpose are they serving the worker at this time; (3) how flexible are they; and (4) how constructive are they.

9. Local cultural patterns that may affect behavior

a. No supervisor can hope to know all cultural patterns. He does need to be able to identify and to accept a worker's feelings that include those arising out of his culture.

b. Supervisor needs to develop an awareness and sensitivity that come from a knowledge and appreciation of cultural

differences so that he and the worker can take joint responsibility for dealing with them.

c. Supervisor must take responsibility to bring out conflict that arises from cultural differences and to help worker resolve it when the solution to his problem impinges on a choice between cultural values. This is especially important when minority groups are involved.

d. In addition the supervisor must be aware of the pressures exerted by certain cultures to make the individual conform and must recognize that he may unwittingly represent one of these pressures because of his different culture.

10. The importance of self-awareness and its effect upon the supervisory relationship.

a. Supervisor as an individual.

b. Supervisor as he reacts to social situations, to authority, and to elements in the relationship.

11. The importance of awareness of dependency -- what constitutes it, how it can develop, how the organizational structure may foster it -- both by workers on supervisors and by supervisors on workers.

SUGGESTED UTILIZATION OF POINTS OF EMPHASIS

1. Provide the group with a copy of the revised statement of elements in the relationship. Enlist from the group illustrations of how each is applied in specific situations. For example, referring to element number 1, a worker is consistently late in getting in required reports. Relate elements to handling this.

2. Have the group develop an individualization chart for a worker. What do they think should be included? (Chart I attached) Why? How would they use this?

3. Develop several sample problems utilizing an individualization chart for a worker plus questions involving several of the elements. In small groups discuss possible approaches to helping this worker.

4. Select several teams (one as worker and one as supervisor) to do role play based on these or other problems.

5. Prepare some vignettes from records of supervisory conferences that show good and poor understanding of the relationship. This should include both obvious and subtle incidents.

6. Discussion to clarify "behavior is purposive" including both positive and negative aspects, how people react to having to ask for help, prejudices, defenses, and so forth.

7. Review content regarding behavior as included in the worker's training in relation to clients. Help trainees transfer this content to their own role with the worker.

8. Have the group develop a list of the kinds of negative behavior they may have to deal with (Example: tardiness, failing to keep appointments, sloppy work, over staying lunch and coffee period and so forth). Discuss: (1) need for analyzing why this behavior occurs and (2) what the supervisor can and should do about it.

9. Have group discuss their own attitudes and feelings that hinder or help workers. Relate these to exercise number 3. Have each member develop a list for each of the following:

   a. Things that make me angry

   b. Things that frustrate me

   c. Things that make me impatient

   d. Identify those that are likely to be present in the work situation

   e. How would they affect working relationship

10. Discuss any cultures present in your agency's jurisdiction. What are the patterns that may react negatively? What attitudes or feelings may arise and need to be watched? Stress the positive approach. This will be especially important if workers are from a variety of cultural or minority groups.

SECTION IV
CHART I

INDIVIDUALIZATION

Some of the knowledge needed by the supervisor in order to individualize a worker:

Appearance

Age

Sex

Health problems

Formal education

Agency training

Work experience - 1. Prior to employment with agency
2. Prior to assignment to this job

Family relationships or situation that may affect the job

NOTE: The emphasis on development of such a chart is on helping the worker. This is a beginning tool that the supervisor can use in later sessions, adding to it items needed in relation to giving specific kinds of help.

SECTION V

THE TEACHING ASPECTS OF SUPERVISION

PURPOSE

As stated previously, this document assumes that the initial training of the Income Maintenance worker and other Income Maintenance staff will be done by Staff Development. If not, Staff Development will train the supervisors to teach. While some of the material in this section will be applicable to that, it by no means encompasses the total content for preparing the supervisor for that responsibility. The focus of this section is to help the supervisor see that he is not a classroom teacher but that he assists the worker to learn on the job. His responsibility is focused to (1) helping the worker apply his initial training to the day-by-day job, (2) teaching him new knowledge such as policy changes, new regulations, how to use new forms, etc., (3) utilizing his knowledge to increase the worker's skills, etc.

Responsibility for this function will be new to many of the trainees, and they will undoubtedly have some anxieties about it. To carry out this function it will be necessary for the supervisor to understand (1) what this responsibility involves; (2) ways in which people learn; (3) why some people do not learn easily; and (4) how to utilize his own knowledge in helping the worker grow on the job.

OBJECTIVES

1. To identify the supervisor's teaching role in relation to the Staff Development program.

2. To help the trainee understand his unique place in the worker's learning process.

3. To utilize learning principles in supervision.

POINTS OF EMPHASIS

1. It is very important that the supervisor understand what his training responsibility is in relation to that of Staff Development. The Staff Development responsibility includes the following four areas:

   a. Teaching the basic knowledge required

      1. To meet job expectations, which increase with length of work experiences

      2. To expand on agency program

      3. To broaden the agency's goals by increased services to clients

   b. Teaching knowledge and methods, new to the agency's staff, that are required to implement a new program successfully

   c. Teaching knowledge in the field of social work or other professions involved in implementing the agency's programs

   d. Increasing the competence of an identified group of staff when program evaluation, made at regular intervals, indicates the need

On the other hand the supervisor, along with the other functions of administering and implementing, also has an enabling function.

This means:

a. He provides learning experiences to enable the workers to use, on the job, the knowledge and skills acquired from previous educational and life experiences, including what he has learned in former training sessions.

b. He provides learning experiences to deepen the worker's knowledge and understanding of his job.

c. He makes available information that will enable the worker to give more effective services to an individual client.

2. Review initial training for new Income Maintenance worker to point out the responsibility that Staff Development has, contrasted to that of the supervisor. Identify the knowledge the new Income Maintenance Technician will need from the supervisor.

3. How People Learn

While the supervisor's teaching responsibility is different from that of Staff Development, the same learning principles are applicable. Experience and agency training have pointed consistently to several simple principles of learning, especially applicable <u>to on-the-job training</u>.

a. Begin where the worker is.

We need to determine what knowledge and skills the worker brings and begin at that point. This can be done by looking

at the experience record of the worker, the job specification, and the agency training.

b. Motivation is essential

We need to understand what motivates people to learn. What factors are involved? Which of these can the supervisor do something about? If supervisor cannot, what is his responsibility for letting worker know?

c. Learning is more rapid when the value and usefulness of knowledge is recognized. If knowledge is repeated, does worker understand why?

d. New ideas must be tied up with knowledge already acquired; the unfamiliar must relate to the familiar.

In helping the worker apply new knowledge or to apply the knowledge gained in Staff Development to the specific situation in the workload, the supervisor will want to relate this knowledge to something already learned and to show the worker <u>how</u> that knowledge can be applied. Using illustrations that show this relationship is one way to help, or have group develop situations to which worker can apply the knowledge.

e. Individuals learn as they make active application of ideas presented to actual problems.

Example: Have group select several items from Staff Development training given new workers and develop a plan to help workers apply this to a specific situation. It is difficult to determine the total amount of knowledge that may be needed, but it is essential that no ideas or material be present that cannot be related to the actual job the worker is doing or will be doing within the very near future.

f. People learn in different ways and often require a combination of opportunities; not everybody learns by reading.

We have only to look around at the different ways in which we all learn and the preferences people have for certain of these media in order to understand this principle. For example: What is it that children learn from TV before they ever go to school? How many people learn through looking at magazines which reflect information through pictures? People go to the movies; they go to lectures. What are others? What equipment does the agency have? (Overhead projector, tapes, films, etc.) The supervisor needs to explore and to

be able to use them with some skill in helping her workers as appropriate.

(Note to Staff Development: Which have you used or are using in training supervisors? Help group see how you used them.)

4. Motivation of workers to learning

Motivation to improve one's knowledge and skills or for any action, is affected by many forces - some within the worker himself, some by the supervisor, the agency and/or the community. It is in this aspect that not all workers can be motivated and that is why it is necessary to look at the motivation in terms of not only the worker, but also of outside forces as well.

5. Supervisor has a responsibility to bring learning needs of staff to the attention of Staff Development. He should participate in various phases and in various capacities of the Staff Development program.

6. Methods through which the supervisor teaches

a. Individual Supervision - provides opportunity for working on individual problems and needs of a worker.

b. Group Supervision - offers an opportunity to provide general information or dealing with common problems.

c. Role Model - for the worker to observe and learn from the behavior and activities of the Supervisor.

(Note) These methods are dealt with more fully in Section VI.

SUGGESTED UTILIZATION OF POINTS OF EMPHASIS

1. Select a specific task of the worker's, such as budgeting. Have group develop steps involved in the supervisory responsibility for enabling the worker to perform this task. Relate to items #1 and #2 (in Points of Emphasis) regarding the supervisor's function, and Staff Development training. Example: What did Staff Development teach workers regarding budgeting. Based on this what are the next steps for the supervisor?

2. Select a specific task of the worker such as providing information regarding eligigility requirements by telephone. Have group develop a plan for helping the worker improve by application of the learning principle. "Begin where the worker is." How do they determine "Where he is" in relation to a task?

3. Break into small groups to develop a list of the factors involved in motivating workers to improve knowledge and skill. Select those about which the supervisor can do something. Determine when and how.

4. Discuss each method (individual conference, group session, role model). From their own experience have group illustrate what can best be learned from each. Emphasize importance of Role Model.

SECTION VI

METHODS OF SUPERVISION

PURPOSE

One of the frequent complaints heard today is "lack of communication." There never seems to be a lack of rumors, however, and this is a direct result of poor communication. It is also very poor for morale. One of the basic principles of Administration is to "bring the staff along." This section will provide for a review of the ways in which staff are kept informed as well as ways in which direct teaching and learning takes place.

Within an agency a variety of meetings are held for staff. Some are held for specific staff; others for partial staff and still others for total staff (including clerical). The purpose, duration, and content will vary in relation to the agency's structure and needs. A supervisor needs to be aware of the purpose and content of all meetings in order to coordinate them with and integrate them into the total plan for helping his staff grow on the job.

Agencies differ in structure and size. However, in general, the following are the usual kinds of meetings held. If the agency has others, they should be included.

1. General staff meetings
2. Unit meetings
3. Supervisors' meetings
4. Others

Both anxiety and confusion about the "authority" the supervisor has, and how he uses it, will undoubtedly be present on the part of new supervisors. Clarification of what it is and how it is used will be important especially in (1) the one-to-one relationship, and (2) the group situation. Specific attention should be given to each situation.

The usual methods of supervision are:

Individual conferences

Group conferences

Use of Specialists

Use of Consultants

Each has its own particular way of helping the worker learn and grow. There is need to understand this, as well as what each demands of both the supervisor and the worker.

OBJECTIVES

1. To give the trainee confidence through showing him there are accepted, recognized methods of doing this job which he can master by applying himself.
2. Help the trainee recognize prejudices he may have about methods of supervision as a result of his experiences as a worker.
3. To use the supervisory authority positively.
4. To use agency meetings effectively in the development of the worker.

POINTS OF EMPHASIS

1. Trainees will have participated in some of the meetings held by the agency but not in all. It will be necessary for them to look at all agency meetings now in terms of (1) what they provide for enhancing their own knowledge and skill and (2) how they can be used to help the workers.

2. The degree of effectiveness of a conference depends upon the purposeful planning as related to staff needs and program development and to the choice of method most appropriate to the end result desired. Preparation for any conference is essential by both the supervisor and the worker. This will be especially important if the trainee has been supervised as a worker by a person who practiced the "open door" type or "supervision on the hoof" (caught in passing!!) Experience has shown how difficult this is to deal with when training supervisory staff who have already developed this kind of practice. While no one questions the need for the availability of the supervisor in time of genuine need, the constant use of this method raises serious questions concerning the supervisor's ability to develop a meaningful supervisory relationship with his workers, as well as to any lasting benefits to the worker.

   This makes clear how important it is for the trainees to understand what is involved in each method, what the advantages and disadvantages of each are, and how to determine which method is appropriate in order to reach a desired end.

3. The Individual Conference is the crux of the supervisory process. A worker may more readily accept help when it is offered in private. In addition the help can be better related to the worker's individual pattern of learning.

The individual conference enables the supervisor and worker to deal together on

(a) the worker's application of policy and procedures;

(b) attitudes toward people or situations;

(c) priorities in work management;

(d) evaluation of performance including recognition of strengths on which the worker can build and concrete help in the specific areas of need; and

(e) on recognition of individual learning needs.

On the other hand, a worker may be overcome by the "authority" or power of the supervisor that he functions less well in the one-to-one relationship. There is less opportunity for testing thinking since only two people are involved and again, one is the supervisor with authority to make a decision independently. The worker has no opportunity to learn from the mistakes of others.

Some criteria for the individual conference are:

(a) Conferences should be regularly scheduled. Both worker and supervisor should know that time is kept for the conference.

(b) The worker participates in this process - a continuing assessment of his needs and accomplishments.

(c) Conferences should not be interrupted and be private.

(d) The length of the conference will depend upon the need of the worker and type of problems presented. Sufficient time to accomplish the purpose should be allotted for this.

4. Group Supervision depends largely on the ability of the supervisor to develop leadership. While trainees have been (or are) members of a variety of groups, few may have had much experience as <u>leaders</u> of groups in a job situation. Experience has shown that this kind of assignment usually arouses anxiety and fear of varying degrees. If the trainee also is fearful of authority himself, or does not understand its significance, he fails to assume his basic responsibility as a leader. He should feel some confidence in that members of training groups usually accept certain controls and authority as a part of helping the group accomplish its purpose.

Individuals need to have a clear understanding of the roles assigned them in the group, their rights and responsibilities. However, the leader needs to be aware of the basic attitudes toward authority and the behavior by which the attitudes are expressed. The leader deals with several personalities at the same time and will need help in learning to respond positively. It is the inter-action of the thinking of the members and contributions of all that contribute toward solutions or goals.

The group leader must understand his function. In training, these would be related to the establishment of the agenda, the arrangement of the subject matter, the division of task responsibility, and the goals of the agency.

If group process is moving toward the successful achievement of the group's agenda, then the members of the group should participate both in developing the agenda, and actively in the discussion. The purpose of each session should be clearly defined and stated.

The same knowledge and skill the Staff Development Instructor uses to conduct these training sessions are applicable to the supervisor in group supervision. It may help the trainee to be made aware of this.

5. Some methods for conducting a group supervisory conference are:

   (a) The supervisor presents material either from cases or assigned reading.

   (b) The supervisor asks provocative questions.

   (c) The supervisor leads the discussion, summarizing at end, pulling out the essential points in relation to the purpose.

   (d) A worker is assigned a specific task around which to lead a discussion.

6. The meaning of Authority. It is important for the trainees to understand the meaning of authority as a supervisory responsibility. If their experience with it in supervision as workers has been negative, they are undoubtedly frightened of this responsibility and will fail to use it appropriately. Even in everyday life the word "authority" sometimes has come to have extreme meanings--the "authorities" who handle lawlessness vs. those who demand protective authority. Some may also bring a negative attitude stemming from their personal life experiences. Therefore time needs to be given to thoroughly examine its meaning and components as an administrative tool, an educational tool and an enabling one.

   The supervisor's authority is usually thought of as (1) the authority of competence and (2) constituted authority. The trainee has been

promoted to a supervisor's position usually on the assumption that (a) he has the degree of competence in practice that is required to facilitate the work of his staff and (b) that he understood and used positively the procedures and regulations of the agency.

Therefore he brings some authority of competence in his knowledge, experience and skills developed as a worker.

Constituted authority is that which is inherent in the position. For the supervisor this authority is to determine whether work is satisfactorily completed, to evaluate the work of the staff for raises and promotions. These are the expectations of the agency.

7. There may be times when the use of a specialist is important to furthering the competence of the worker. Usually this would be provided in a group conference. The supervisor must take responsibility for the effective use of such a person through appropriate selection, preparation and briefing of the person, content, guiding the discussion and follow up on utilization of the knowledge and skills brought by the specialist. The content should be related to the ability of the group at that given time and its usefulness to them. Sequence of knowledge is as important here as in any place in training. Sometimes a specialist will have to be aware of any needs resulting from lack of adequate preparation. The need for adequately briefing the specialist

(so that examples used are translatable to the worker's job) and the agreement on points to be covered cannot be over stressed. For example, with agencies converting to the use of computers, it may be effective to have a demonstration of how one works. This might be related to common errors made by workers either through lack of knowledge or carelessness, or an expression of general interest. The focus and content should be related to the reason. Again, such a demonstration would come after the workers were familiar with and were able to use the data being processed.

8. The use of a consultant is similar to the use of a specialist, though one is more often employed in a one-to-one relationship in relation to a specific problem or need. The same criteria for preparing the Consultant for the conference, as well as for the preparation and participation of the staff member obtain.

SUGGESTED UTILIZATION OF POINTS OF EMPHASIS

1. Have trainees develop list of meetings in which they participated as workers. Indicate for each meeting the following:
   (a) when and how often held
   (b) who called the meeting
   (c) what was its purpose

2. Add to this list other agency meetings that will now involve them as supervisors. Indicate for each of these the same items as in No. 1. Help group (a) define how each meeting serves the agency's purpose; (b) relate this to how they can use these meetings to help their workers; (c) how they may add to their own knowledge and skill.

   For example: They will now attend a meeting for supervisors. Here they can bring to the Administrator's attention suggestions and problems. They can exchange views and test thinking with peers. Supervisors' meetings provide opportunity to clarify all points and have thorough understanding of new materials so they can interpret easily to workers.

3. Discuss with group, what they as workers found positive or negative about individual conferences, group supervision, and other aspects of supervision. Relate these to the following.

4. Through discussion, develop the following for the individual conference:

   (a) What kinds of help can be given through this method?

   (b) Some criteria for a good conference.

   (c) How the supervisor uses the relationship to help the worker.

   (d) How the supervisor uses knowledge of human behavior. (Relate to elements in the relationship)

5. Have a copy of an individual conference ready for use as the basis for applying the above criteria.

6. Prepare a simulated situation for an individual conference. Have trainee develop the preparation for this conference, then do a role play around it. Example: A worker is falling behind in the number of applications he is expected to process.

7. Through discussion bring out

   (a) ways we are all members of some groups.

   (b) what makes the difference between our participation in a social group and this training session?

   (c) what is our role in each? What rights do members of a group have? What responsibilities do members of a group have?

(d) In what way does our role change when we become a leader?

(e) What are the functions of the supervisor as a group leader?

8. Discuss "authority" in relation to leadership.

(a) Develop questions for a discussion to help trainees see authority as a positive component of their job -- not a threatening one. Relate to their supervisory functions and responsibilities and (agency goals), their use of knowledge of human behavior, and ability to develop a helping relationship.

(b) What kinds of behavior might be expected in relation to authority? How can this be handled?

(c) What have they observed in other places and how was it handled?

9. Through discussion develop the following for the group conference:

(a) What kinds of help can be given through this method?

(b) Some criteria for conducting a good group conference.

(c) How the supervisor uses the relationship to help several workers at the same time.

(d) How the supervisor uses knowledge of human behavior.

10. Discuss with group how Staff Development has used group methods in these training sessions. (Very helpful in evaluating our training)

11. Select a topic around which to plan a group conference. Have trainee develop the preparation for this conference, involving (a) deciding upon agenda, (b) assignment of tasks, (c) how this will affect agency goals, (d) what situations are likely to arise that might produce negative behavior, (e) how leader would handle it.

12. Discuss with trainees experiences they may have had as workers in relation to a specialist. Was it in a group or individual session? For what purpose? What did they think was good or bad about it? What factors made it so?

13. Have group select some aspect of the worker's job in which they might use a specialist. Decide upon criteria needed to make it an effective experience.

14. Have group select some aspect of <u>their own job</u> in which they might use a consultant. Develop a plan for his effective use.

15. Discuss some criteria for making an appropriate selection of the method to use.

SECTION VII

TOOLS OF SUPERVISION

PURPOSE

Many of the "tools" of supervision are familiar to the trainee who used them as a worker. (such as work schedules, day sheets, records, etc.) Now he should see them as a tool for fulfilling his supervisory role. This section has been included as a separate one because often these items and others are looked at only in relation to their importance to the agency function and not in relation to their importance in the day-by-day relationship with the worker or in the evaluation process. In addition, the agency's structure for separation for determining financial assistance and providing services may have affected some or all of them and the agency's emphasis will have changed accordingly.

The use of the declaration for determining eligibility will have affected what goes into a record and, therefore, how it can be used by the supervisor. For a trainee who has been in the agency under the integrated plan this will have real meaning and there may be some negative feelings resulting that will have to be dealt with.

In addition, there will be some tools new to the trainee that are important in carrying out this function such as the supervisor's notebook, Reports of Fair Hearing, Agency reports, Reports of Validation and Quality Control findings, the job description, and evaluations.

OBJECTIVES

1. To make use in the supervisory role of those tools trainees have used as workers.

2. To learn some new sources and methods of obtaining information for understanding or helping the worker.

3. To utilize the recording of eligibility information under the simplified method.

POINTS OF EMPHASIS

1. The supervisor's notebook is his running record and "Memory Bank." No one can remember all the details and the information that are essential and that relate to several workers. The notebook is an orderly record of each worker.

2. Individualization of the worker is the beginning step in developing the notebook.

3. Under the simplified method, recording will be limited and case records will be available to clients under certain situations. What criteria has the agency developed regarding contents of the case record.

4. Findings of Validation and Quality Control can be used (1) to help workers; (2) as a basis for the supervisor's checking on his own plans; (3) to interpret program to the community; and (4) accountability.

5. Records of Fair Hearings serve as a basis for group discussions to determine points regarding establishing eligibility that are being over-looked.

6. The job descriptions and evaluations are the bases on which the supervisor builds his plan for helping the worker and from which he evaluates himself as a supervisor.

SUGGESTED EXERCISES

1. Provide samples of each form, record, card file, etc. that the worker uses. For each one discuss the following:

   a. What is its purpose?

   b. Clarify the meaning of all items on it.

   c. Trace its course through the eligibility process to show its relationship to doing of tasks.

   d. Emphasize who has final responsibility for the information it contains.

   e. What purpose each might serve in relation to supervisor's responsibility to the community.

2. Do the same for each form, record, etc., that the supervisor uses.

3. Deal with supervisor's notebook separately. What should it contain? Its purpose? Have group decide how each tool used by the agency should be a part of the supervisor's notebook in her planning for an individual conference and evaluation for promotion. Relate to the use of individualization charts; to the job description.

4. Examine several client records to note inclusion of extraneous material. Review agency policy for recording under simplified method.

5. Based on several actual Quality Control reports (both individual, if available, and composite) have group discuss:

   a. What are the findings

   b. How does supervisor use this information

      1. To help the worker

      2. To evaluate his own work

      3. To interpret to the community

6. Discuss how a report of Fair Hearings can be a tool for supervisor to use in Group conferences.

SECTION VIII

KNOWLEDGE AND USE OF RESOURCES

PURPOSE

Agencies differ in the structure provided for receiving requests for assistance varying from the large agency with an organized intake department to the small one-worker agency. Many people will come to request only information; others will come to request help with a specific problem with which the public assistance agency may or may not be able to help. The application form to be used in the simplified method may have a place for the applicant to state whether or not he wants help with a problem, or the agency may have a specific plan for obtaining this information.

Whatever the agency size or structure, or whatever the way in which the person makes his request for help, someone in the agency has the responsibility for dealing with the request. Whoever has this responsibility should know how to recognize clues that denote needs, even though unspoken, either through observation, through listening to what the person said or through what he writes on a form. (The agency will have set up procedures for referral between services.) Appropriate referrals to outside agencies given in a professional way enhance service to clients.

In addition public welfare has responsibility to develop resources when none are available. Therefore, not only does the supervisor have

responsibility for seeing that the workers know what resources are available, that they select appropriate resources, and that they follow good referral practices, but the supervisor also must understand his role in developing needed resources.

OBJECTIVES

1. To learn what resources are available -- both within the agency and the community

2. To make appropriate selection of resources

3. To practice good referral procedures

4. To understand supervisor's role in developing new resources

POINTS OF EMPHASIS

1. If trainees have had experience as social workers, special attention should be given to limitation on the responsibility for giving services and procedures for referral should be stressed. Many may have real difficulty in giving up this function and may express negative feelings. If so, working through this can be a positive experience to the group. Also, some workers will have a positive reaction to this change.

2. A distinction should be made between the giving of information and making a referral.

   Definitions for referral are not easily available. One definition is: "referral is that service which brings together the client and the appropriate resource in such way the client recognizes his need for it and can use it effectively, and the resource adapts and relates its service to the client."

   Information service should be available not only to applicants, but also to the general public. Many people may make general inquiries about available resources with no intent of applying for financial assistance. At the same time some may contact the agency having identified some area of his living with which he is not able to cope completely through his own resources, but knows that he wants help, and may have some idea that help may be available

if he knows where to go. The worker must have the ability to identify the real nature of the request for information. The worker must also have accurate information and be able to give it with warmth and understanding. The worker must have knowledge of what is available both within the agency and community.

Requests for service received by telephone frequently can be referred immediately without a visit to the agency. The better qualified the intake worker is, the better the referral made at that point.

3. The Income Maintenance worker may refer persons to resources within the agency; while some agency services are common to all, (such as medical, financial assistance) different groups may have special needs -- the aged, disabled, children, families.

4. Resources within the agency would be the other service programs, or people such as specialists or consultants. The agency will undoubtedly have developed specific procedures to follow in making use of them.

Resources available within the community:

a. Directory with local agencies and their programs (requirements)

b. State and Federal resources

c. Possible community, non-organized resources - church and civilian groups or individuals

5. Kinds of referrals commonly made by Income Maintenance worker

   a. To client on where to obtain information needed to complete application

   b. To client on where to obtain service requested, not provided by agency

   c. To the social services department within the agency

   d. To a community resource

   e. To a specific individual

6. It is essential that workers understand what good referral practices are. The supervisors will be responsible for seeing that these practices are followed. A referral made in a professional way is most important. If not, the client may feel rejected and not seek further help, or another agency may become critical of public welfare, or the image of public welfare may be seriously damaged in the eyes of the community. Therefore workers will need to be helped to learn good referral practices and be held to them. Some of the essentials in making a good referral are:

   a. The worker and the client determine what the problem is.

   b. The worker describes what the resource has to offer and encourages acceptance. The client cannot use the resource unless he is sure of what can be expected of the resource and what it will expect of him.

c. The worker makes clear to the client that certain information must be shared and obtains permission to do so.

d. The worker avoids making commitments for the other agency.

e. The worker makes sure that the other agency is in a position to consider this referral and to take the needed action to help the client with his problem.

7. Most agencies have put their intake policy into writing. There are frequently written agreements between agencies with responsibilities and limitations well-defined. The trainees should be familiar with those agreements made by the welfare agency.

8. There should be a clear understanding on the part of both agencies what role the welfare agency should play in the future, if any. Follow-through is an integral part of the referral process. The method and frequency would depend upon a number of factors.

9. Referrals are made in several ways or a combination of them:

a. A telephone conversation giving preliminary information about the client and the nature of his problem. Later total information necessary for complete referral can be sent by letter.

b. A letter can be written giving all available information which would help the other agency give the appropriate service.

c. A conference may be held to discuss the problem and action indicated.

10. The total referral service plans should be an integral part of the case record. This is particularly important when follow-through is indicated. Since Income Maintenance records are limited, the agency will need to decide what should be included.

11. Referral service has a definite public relations aspect. A poor referral either in choice of resource or in unprofessional procedures can have a negative effect upon the agency's image. A poor referral may also make the inquirer feel rejected and so not seek further help. Therefore, both the selection of the resource and the referral procedures are equally important.

12. Resources within the community may be limited or inadequate. Keeping records and analyzing referrals, those made, completed satisfactorily or rejected, will assist the agency in determining what resources need to be improved, to be developed and to what extent.

13. The supervisor is in a strategic position in the agency to bring to the attention of the Director the requests made to the agency for which no resource can be found. Also, through his contacts

with other agencies he can give leadership in mobilizing interests in doing something about it. Much will depend upon his understanding of the referral process and of his administrative role as a leader.

SUGGESTED UTILIZATION OF POINTS OF EMPHASIS

1. Have group identify the differences between information giving and referral service and what the Income Maintenance worker's involvement is in each. Discuss agency's structure and plan for providing information.

2. Review the feelings clients may have in coming to the agency to ask for help as well as unusual behavior sometimes seen.

3. Have group develop criteria for good referral practices.

4. List the kinds of information clients frequently need for completing application. For each kind of information, have the group discuss possible resources for the client and how to help the client utilize them.

5. Review agency's procedures for referral to Social Service program in agency.

6. Discuss content needed in making a referral, relating to ways referrals can be made.

7. Prepare several sample applications that include clues for needed services. Review to help trainees spot them and determine if agency can meet or if referral to another agency should be made. Discuss how the supervisor would help the worker -- what the worker needs to know -- how does the worker learn this.

8. Have the group list the common services needed by different groups -- aged, disabled, children, families. Indicate which of these can be met --

   a. Through the agency itself

   b. Through community resources

   Note those for which there does not seem to be a resource available. Relate to number 12.

9. Have the group listen to several tapes of a variety of requests that include both poor and effective referrals; include contrast in voice and choice of words to help illustrate.

10. If there is no local resource directory, have the group work up a plan for developing one (Relate this to the leadership responsibility of supervisor).

11. Discuss example of card files -- the value of an office file versus the individual file. How is it kept current? Who has the responsibility?

12. Prepare a situation in which a need is noted and no local resource can be found. How would the supervisor go about developing such a one? This should bring in the administrative elements of the agency as well as the contacts with other agencies in the community.

13. Review <u>all</u> written agreements that agency has with other agencies. Note <u>where</u> these can be found for ready reference.

14. Discuss agency's procedures for recording of referrals and for analyzing them.

15. Use situations involving repercussions to a poorly handled referral. Note how this could be avoided.

SECTION IX

WORKLOAD MANAGEMENT

PURPOSE

Trainees will need help in moving from responsibility for a single workload to responsibility for the total workload of the unit with all that this entails. This can be overwhelming and they will need help in establishing a perspective as well as priorities in relation to program and staff.

The responsibility of the supervisor is to see that the work of the office or unit is carried out effectively and quickly, and to see that the worker carries out his responsibility of determining eligibility in a prompt and efficient manner.

Management of the work unit involves planning, organizing, scheduling, assigning tasks and establishing controls. The method is that of direction rather than of teaching.

Skillful planning of the work schedule provides for both long-range and immediate needs. Work flow has to be maintained, deadlines met and emergency situations handled. Under the best planning, however, the unexpected occur. However, dealing with the emergencies or "supervision on the hoof" is not only inefficient but is a waste of time.

Good planning affects the morale of both the supervisors and the workers. Continued crises do not. They are physically exhausting and they do not contribute to the carry-over of learning.

OBJECTIVES

1. To focus on the total workload

2. To plan, direct, and coordinate the activities of the workers

3. To establish priorities in getting the job done

4. To evaluate the total workload in terms of meeting agency's goals

POINTS OF EMPHASIS

1. Understanding what makes up the total workload. This includes the following:

   a. The number of applications per month received by the agency.

   b. The number of applications per month this unit is expected to handle.

   c. The number of redeterminations per month this unit is expected to handle.

   d. The number of workers available.

   e. Other workers involved under this supervisor - receptionists, telephone, budget clerks and so forth.

   f. The time required for processing an application.

   g. Other (Fair Hearings, Denials, Referrals)

2. Planning is the process of consciously selecting and developing the best course of action. It involves both general and specific objectives. Each day's work is accomplished fairly routinely and easily; long-range planning is more complicated since it has to take into consideration many factors -- time, people, changes in procedures and the unexpected. However, the rewards of good planning are many, -- saves time, forestalls questions, less confusion and produces better quality of work. Planning will let <u>you</u> run the <u>job</u> -- not let the <u>job</u> run <u>you</u>.

3. Providing for consistent coverage of the workload. This includes:

   a. Analyzing worker's loads to adjust assignments as to size and tasks.

   b. Planning ahead for anticipated absences and arranging coverage of workloads.

   c. Permitting flexibility in working hours to meet individuals' needs.

   d. Providing emergency interview or service to client in worker's absence.

   e. Other

4. Allocating staff time for maximum quantity and quality of performance:

   a. Keeping a check on worker's use of his time and coverage of his load.

   b. Helping workers to organize schedules and develop efficient work habits.

   c. Setting up controls to time the necessary reviews for reauthorization of assistance, hearings in court, or other special treatments.

   d. Listing for worker-anticipated assignments to be accomplished in the coming period.

   e. Other

5. Improving work standards and procedures through staff studies and discussions, including:

   a. Insuring common understanding of all staff of new policies or programs and of ways to interpret them.

   b. Giving purpose and focus to group discussions and group projects.

6. Efficiency of the work in the office is often related to the physical features. Recognition of negative factors, if any, and ways they can be improved.

7. Some areas of work must be done by supervisor alone. Some areas could be completely or partially delegated to workers, such as checking arithmetic on budgets.

SUGGESTED EXERCISES

1. Prepare statistical material that will show the total agency workload - both services and financial assistance.
   a. Emphasize the variety of staff needed to do this job in the total agency.
   b. In the Income Maintenance Program.
   c. Identify the staff under direct supervision of this group.
2. Trace the processing of an application from point of receipt to mailing of check. Note:
   a. Who the people are involved in this process.
   b. Points where breakdowns in processing can occur.
   c. What steps supervisors can take to improve the situation.
3. Identify the specifics in "planning, directing, and coordinating" activities of the workers.
4. Using findings of Validation Unit, determine (1) denials; (2) suspected fraud; (3) errors in eligibility factors, and discuss how these relate to evaluation of total program.

5. Have each trainee develop a list of all the activities for which he is responsible. Based on this:

   a. Determine those that occur

      Daily

      Weekly

      Semi-monthly

      Monthly

      Occasionally

   b. Identify the amount of time required for each.

   c. Using the list of those occurring weekly

      (1) Revise list in order of priority

      (2) What regulations govern priorities (Example: time limits)?

      (3) Set up a week's calendar for these activities

6. Have group draw up a tentative schedule for one month for themselves, based on the tasks they are expected to perform. How realistic is this? What tasks could be delegated? To whom?

7. Discuss the physical problems in the agency that affect adversely the work of the office. How can the supervisor handle?

8. Through discussion, have trainees develop a plan for helping their workers manage their workloads. Relate plan to Group Supervision (Section VI).

9. Make a list of all the items that have "deadlines." What kind of records or files assist a worker to meet them? assist a supervisor to meet them?

SECTION X

EVALUATION

PURPOSE

Every agency has some kind of policy about staff evaluations for promotion, and every staff member has some feelings about it, depending upon his experience with it. The trainees will undoubtedly have a positive attitude since it was through this process that they were promoted to their job as supervisors.

Most staff will have an understanding and acceptance of evaluation as a means of helping workers become better in their performance so that they individually, and as a group, contribute to the agency's total program; or as a means of carrying out the teaching function; or even as a means of self-evaluation for the supervisor. Few, however, will understand evaluation as a process to determine personnel action involving salary advancements, promotions, demotions, dismissals, re-instatements, and separation due to reduction in force. This aspect of the evaluation process is related to the rating procedures of the Merit System of the State. The trainees will need help in developing security in translating this process to the rating procedures.

The purpose of this section is to help the trainees understand the evaluation process as a part of supervision so that it can be used positively for the benefit of the agency, the worker and the supervisor. Much of the content in Section VI dealing with the individual conference

will be applicable but will need to be re-focused to the rating aspect. Trainees will need to see that it is an on-going process beginning when the worker first reports on the job and continues in some way until he leaves a particular job and/or the agency. They will need to understand the agency's plan for promotion of workers since this is a realistic motivation for improving on the job. This is important as new staff become experienced. How do they advance?

There is another aspect of evaluation that is often overlooked. It is recognized that there comes a time when regular supervision ceases and the worker should use consultation instead. This is especially important for long-time workers in the agency. How does the agency determine this?

The successful use of the evaluation process depends upon the recognition that it is related to the worker's performance of the tasks assigned in the job. Knowledge of the policies, understanding the specifics in the rating schedule and of the use of the evaluation process can reduce negative feelings and make this a meaningful experience to both the worker and the supervisor.

OBJECTIVES

1. To evaluate staff uniformly in relation to job responsibilities.

2. To learn the agency standards for promotion.

3. To use resources available to workers to prepare for promotion.

4. To determine when the worker should move to consultation.

5. To use this process for self-evaluation.

POINTS OF EMPHASIS

1. Evaluation is an integral part of supervision. It is a continuing process between the employee and his supervisor. It is on-going in that there is a continuously moving forward -- a growing. The process is identified by gradual changes that lead toward a particular result -- growth. There is a beginning, or starting point leading to a goal, target, objective. (X ——> Target)

2. The starting point must be a knowledge of job requirements as related to agency functions, agency objectives, policies, procedures, and community resources and relationships. Job requirements should identify the tasks and responsibilities upon which the worker will be evaluated.

   Evaluation is of job-performance and not of a person apart from his job. It is specific in relation to the job actually assigned to the worker, and the focus should be kept on what is required to do this job by this worker in this agency.

3. An analysis of the present and past performance as a basis for setting goals and for helping the worker move toward them is an essential first step. This can be done by observation, reading and analyzing records and reports, complaints and inquiries.

4. The supervisor must have respect for and a real understanding of the individual personalities and potentialities and qualifications. The

relationship between the supervisor and worker is the foundation for effective evaluation. There must be recognition that growth in an individual is related not only to the capacity which he has, but also to the supervisor's capacity to direct workers in the use of inherent and acquired abilities.

5. The evaluation conference for rating purposes is periodic and should be known and expected by the worker as a part of established procedure. Both supervisor and worker should prepare for it in advance. The supervisor may need to help the worker organize himself for it. The supervisor's preparation should include some reflection as to ways his own attitudes may have affected the worker's performance.

   A framework for the evaluation conference would include:

   a. What are the tasks to be evaluated?

   b. Individualizing the worker -- where is he in his performance of these tasks; what are the areas in which he needs to improve?

   c. Establish a plan for helping -- establish the priorities.

   d. Conduct the conference.

   e. <u>Record</u> the conference.

f. Confirm goals and accomplishments reached and new goals to be attained.

g. Plan for next conference.

(1) What is expected of supervisor?

(2) What is expected of worker?

6. Clarification of agency policy regarding evaluation as it relates to rating for promotion of staff, and other personnel actions.

7. Clarification of terminology and items on any forms used by the agency in the evaluative process.

Many agencies use a form to evaluate staff. If so, these should be reviewed with the trainees so that each item and its relationship to the specific tasks of the worker is clearly understood. There is no place in the supervisory role where understanding of tasks required of the workers is more important than at this particular time. Without it objective judgments cannot be made.

It is suggested that the term "strengths and weaknesses" be changed to "strengths and 'areas where improvement is needed.'" The term "weakness" is a negative one and seems to indicate an inherent quality. No one likes to think of himself as weak.

8. Resources to workers to prepare for promotion

   This is especially important if workers are from the client or non-professional groups. To what other jobs can they move in the agency if they are not able to perform satisfactorily as an income maintenance worker? If they perform satisfactorily as an income maintenance worker, can they move up to being a supervisor? Are there other jobs in the agency that are considered a promotion in which they can make use of the knowledge, training and skills that they have developed as a worker.

   What educational resources does the agency have to help workers move up the career ladder?

9. The agency's standards for measuring the workers readiness for consultation (rather than daily supervision) and plan for preparing a worker for this?

10. Use of the evaluation of a worker by the supervisor in terms of his own performance as a supervisor.

11. Opportunities for workers to evaluate supervisors.

SUGGESTED UTILIZATION OF POINTS OF EMPHASIS

1. Discuss agency policy regarding evaluation and clarify all terms. (Example: strength, "weakness") (effectiveness in --, ability to --). Be sure the supervisor sees relationship to tasks assigned. Include areas that require objective and subjective judgments.

2. Discuss resources available to workers to prepare for promotion.
   a. Requirements
   b. How is worker informed

3. Have group develop an individualization chart that will be a bench mark for a worker and relate this to the agency's evaluation form or any other outlines they may use. Refer to Chart I, Section IV. What other items should be added?

4. Have group make up a plan for preparing for an evaluation identifying the resources available for this (notebook, records, individualization chart).

5. Review the elements in the relationship (Section IV) and have group identify ways in which they are subtly violated by supervisors if not consciously applied.
   (Example: The supervisor reacts negatively to the worker's expression of negative feelings.)

6. Give group a situation in which termination of employment is required. Have the group develop a plan for interviewing including points to be included.

7. Do role playing around termination of employment. Give the trainee who takes the part of the worker specific instructions as to his role. For example: Have one "worker" be rather passive; have another "worker" be aggressive.

8. Review agency's criteria for use of consultation by workers rather than supervision. If agency has no criteria, have group develop it.

9. Have trainees develop a self-evaluation chart based on the knowledge and skills defined in their own job descriptions. Include (1) use of individualization chart for themselves; (2) listing positive qualities in supervisors they have encountered from their own experiences; and (3) listing undesirable qualities encountered from own experience.

10. Select several of the items on which supervisors are rated and analyze how their performance relates to the job performance of a worker, and how this affects the evaluation.
(Example: "Effectiveness in instructing, training and developing subordinates in the work;" "effectiveness in delegating clearly defined authority to act.")

SECTION XI

PUBLIC RELATIONS

PURPOSE

Public Relations and Public Information are of vital importance to the agency. Everyone knows that "bad" Public Relations and Public Information affects the morale of the agency. Every member of the staff should see this in relation to himself and how he can help. The separation of giving financial assistance from other services may cause fragmentation of interpretation of the agency's program unless special attention is given. The Income Maintenance worker will need help in relating his limited function to the total agency program of interpretation as he comes in contact with the public. Income Maintenance supervisors may be called upon to interpret programs at a variety of meetings, or to produce specific material for Public Information or for Boards for policy decisions. Because public welfare is taking on more responsibility for services that are unrelated to financial assistance and are provided to a broader section of the community, it becomes very important for the Income Maintenance workers and Income Maintenance supervisors to understand their role in this. The applicant's first contact with the agency will undoubtedly be through the Income Maintenance program.

OBJECTIVES

1. To accept responsibility for projecting image of agency.

2. To understand the "what" of Public Relations.

3. To understand Public Information in relation to confidentiality.

4. To carry out his responsibility for Public Relations.

POINTS OF EMPHASIS

1. In general there is a misunderstanding of the terms "public information" and "public relations."

   The terms are not synonymous. Public information is dissemination of information to the public. It is an integral part of a public relations program. Misconceptions about public welfare are many times attributive to lack of information rather than to misinformation.

   Public welfare exists to provide financial aide and social services. How effectively it carries out its responsibility depends in large part on how much the public knows about public welfare activities. The American people resent the employment by government of persons to propagandize them -- to try to mold their opinion. They are equally resentful if information is withheld. The function of the public welfare information service is not to propagandize or to influence, but to explain the agency's program and account for expenditures.

   Information service alone cannot build the public's opinion of public welfare, but it does plan an essential role in forming that opinion in the same way that good administration and competent staff help form public opinion. The public's opinion of an agency should be high on the priority list of agency concerns and the foundation of such an opinion begins within the agency with professional attitudes on cooperation and an esprit de corps.

2. Public relations is a total program of the agency's relationships that create and maintain the good will and the cooperation of the individuals and organizations with whom the agency works.

This good will is built in not by just one thing but involves many. For example --

What is the quality of services given by the agency?

In what manner is it given?

How are people who come to the agency received?

What impression do people get through voices over the telephone?

What do the letters reflect in the way of content and tone?

"First impressions are lasting" is a frequent quote. What impressions does the agency give through the appearance of the office, of the staff, of the actions of the staff.

People frequently make hasty judgments or jump to conclusions after a first contact. If this is a negative judgment, we may never have the opportunity to correct it.

3. While the Director of the agency has the responsibility for developing the public relations and public information programs for the agency as a whole, the supervisor does have responsibility for

helping workers recognize the importance of their behavior in creating the agency's image. Such things as using the telephone appropriately, being courteous, and helpful, reflect upon the agency.

4. While the worker has responsibility for action on an individual case, the supervisor has responsibility for evaluating and supporting positively the worker.

5. The supervisor, through her representation of the agency at a variety of meetings, is in a strategic position to interpret the agency's goals and services. Positive attitudes, knowledge of agency programs, agency goals and philosophy are basic to carrying out this function. It also helps to be able to talk about it interestingly.

6. The supervisor needs to be aware of the attitudes regarding public welfare of each particular group with whom she comes in contact; also of cultural differences that may affect attitudes.

7. The supervisor must be able to provide information regarding the agency's program when a specific case is under consideration without violating the client's confidentiality.

SUGGESTED UTILIZATION OF POINTS OF EMPHASIS

1. Define Public Relations and Public Information and clarify supervisor's responsibility for each.

2. Have trainees formulate in words the public image to be projected through the agency's program.

3. Have each trainee select a prominent store or business in the county or nationally and analyze what creates its "good image," its "poor image." What do they think went into each? What of this could they translate into their own agency?

4. Have group list the ways in which we can unconsciously contribute to poor public relations. List ways we can do a better job.

5. Select a case that caused adverse feeling in the county. How was it handled? Who did what? Result? In retrospect, how could it have been better handled.

6. Have each trainee plan an interpretive talk regarding the agency to the local Business and Professional Club. Include what the content should be and why. How would content differ if this were the Rotary club. Check against criteria already discussed.

RESOURCE MATERIAL

It is assumed that each State Division of Staff Development has compiled a resource file on supervision per se. The major part of the present literature relates to casework supervision. Since the basic principles of casework supervision apply to the function of the income maintenance supervisor, selected references will be helpful to use with this Guide. Each State will need to review its list with this in mind. We do call to your attention two articles that we have found especially pertinent.

1. TRANSITION FROM CASEWORKER TO SUPERVISOR, by Genevieve Slear
   Although this article was published in 1949, it is basic. It was published in the Journal of Social Casework, Vol. XXX, No. I, January 1949, pp. 25-30.

2. THE USE OF AUTHORITY IN SUPERVISION, by Miss Bernice Orchard and can be found in the Journal of the American Public Welfare Association, January 1965, Volume XXIII, No. I.

There seems to be very little on supervision written after 1960. We have reviewed some books written for Business and Industry Personnel that contain relevant material but find it needs to be translated into the social welfare field. One we have found useful is

MANAGEMENT MINDED SUPERVISION, by Bradford B. Boyd.
Publisher: McGraw-Hill, New York 1968.

Another resource is the Personnel Series published by the American Management Association, 1515 Broadway, New York 36, New York

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